

ATTORNEY'S DOCKET NO.  
DASSLER - 2 (PCT)TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**10/538157**INTERNATIONAL APPLICATION NO.  
PCT/EP2003/013728INTERNATIONAL FILING DATE  
4 DECEMBER 2003PRIORITY DATE CLAIMED  
12 DECEMBER 2002

## TITLE OF INVENTION

METHOD FOR THE PRODUCTION OF R- $\alpha$ -LIPOIC ACID BY FERMENTATIONAPPLICANT(S) FOR DO/EO/US  
TOBIAS DASSLER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau)
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

2 sheets of drawings  
International Search Report  
Sequence Listing, Statement, Diskette and Receipt of Deposit

APPLICATION NO. (if known, see 37 CFR 1.5)				INTERNATIONAL APPLICATION NO. PCT/EP2003/013728	ATTORNEY'S DOCKET NO. DASSLER-2 (PCT)
<b>10/538157</b>				CALCULATIONS	PTO USE ONLY
<input checked="" type="checkbox"/> The following fees are submitted: <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b> Search Report has been prepared by the EPO or JPO.....\$300.00 National Stage Search Fee.....\$500.00 National Stage Examination Fee.....\$200.00 International preliminary examination fee paid to USPTO (37 CFR 1.482).....\$750.00 Neither international preliminary examination fee paid (37 CFR 1.82) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$1,110.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$100.00 <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				\$ 1,000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing in an electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof.					
TOTAL SHEETS	EXTRA SHEETS	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		x \$250.00	\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than <u>  20  </u> <u>  30  </u> months from the earliest claimed priority date (37 CFR 1.492(e)).					
Claims	Number Filed	Number Extra	Rate		
Total Claims	12 - 20 =	- 0 -	X \$50.00	\$	
Independent Claims	2 - 3 =	- 0 -	X \$200.00	\$	
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 1,000.00	
Reduction by 1/2 for Small Entity status.				\$	
<b>SUBTOTAL =</b>				\$ 1,000.00	
Processing fee of \$130.00 for furnishing the English translation later than <u>  20  </u> <u>  30  </u> months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 1,000.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +					
<b>TOTAL FEES ENCLOSED =</b>				\$ 1,000.00	
				Amount to be: refunded	\$
				charged	\$

- Applicant claims Small Entity status.
- a. ☒ A check in the amount of \$ 1,000.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 03-2468 in the amount of \$            to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 03-2468. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:  
 COLLARD & ROE, P.C. (Customer No. 25889)  
 1077 Northern Boulevard  
 Roslyn, New York 11576-1696  
 (516) 365-9802

Signature

Elizabeth C. Richter  
 Reg. No. 35,103

Express Mail No. **EV 617 792 543 US**  
 Date of Deposit **June 8, 2005**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above, and is addressed to Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Maria Guastella